| | | e i | . at | 06 Rec'd PCT/PTO 28 OCT 2002 # | | | | |
|-------|-------------|--|---|--|--|--|--|--|
| | M PTO- | | F CC RCE PATENT AND TRADEMARK OFFICE | ATTOR DOCKET NUMBER | | | | |
| (1124 | 11-200 | | R TO THE UNITED STATES | 2490-17 U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) | | | | |
| | | | TED OFFICE (DO/EO/US) | 10/070,619 | | | | |
| INTE | RNAT | TIONAL APPLICATION NO. | ING UNDER 35 U.S.C. 371 INTERNATIONAL FILING DATE | PRIORITY DATE CLAIMED | | | | |
| | | PCT/GB00/03483 | 08/09/2000 | 08/09/1999 | | | | |
| TITL | E OF | INVENTION SEMIC | ONDUCTOR LASER DIODE WITH A DIST | TRIBUTED REFLECTOR | | | | |
| APF | PLICA | NT(S) FOR DO/EO/US | MASSARA, A. et al. | | | | | |
| Арр | licant | herewith submits to the Unite | d States Designated/Elected Office (DO/EC | O/US) the following items and other information: | | | | |
| 1. | | This is a FIRST submission | of items concerning a filing under 35 U.S.C | 2. 371. | | | | |
| 2. | \boxtimes | This is a SECOND or SUBS | EQUENT submission of items concerning a | a filing under 35 U.S.C. 371. | | | | |
| 3. | | | | | | | | |
| 4. | | The U.S. has been elected b | by the expiration of 19 months from the prio | ority date (Article 31). | | | | |
| 5. | A co | py of the International Applica | ation as filed (35 U.S.C. 371(c)(2)). | | | | | |
| | a. | is attached hereto (req | uired only if not communicated by the linter | national Bureau). | | | | |
| • | b. | has been communicate | ed by the International Bureau. | | | | | |
| | c. | is not required, as the | application was filed in the United States Re | eceiving Office (RO/US). | | | | |
| 6. | | An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). | | | | | | |
| | a. | is attached hereto. | | | | | | |
| | b. | has been previously su | ıbmitted under 35 U.S.C. 154(d)(4). | | | | | |
| 7. | | Amendments to the claims of | of the International Application under PCT A | Article 19 (35 U.S.C. 371(c)(3)) | | | | |
| | a. | are attached hereto (re | quired only if not communicated by the Inte | ernational Bureau). | | | | |
| | b. | ☐ have been communica | ted by the International Bureau. | | | | | |
| | C. | have not been made; h | nowever, the time limit for making such ame | endments has NOT expired. | | | | |
| | d. | have not been made a | nd will not be made. | | | | | |
| 8. | | An English language transla | tion of the amendments to the claims under | r PCT Article 19 (35 U.S.C. 371(c)(3)). | | | | |
| 9. | \boxtimes | An oath or declaration of the | inventor(s) (35 U.S.C. 371(c)(4)). | | | | | |
| 10. | | A English language translation Article 36 (35 U.S.C. 3 | on of the annexes of the International Prelin 71(c)(5)). | minary Examination Report under PCT | | | | |
| | Item | s 11 To 20 below concern o | document(s) or information included: | | | | | |
| 11. | | An Information Disclosure Si | tatement under 37 C.F.R. 1.97 and 1.98. | | | | | |
| 12. | | An assignment document for | r recording. A separate cover sheet in com | pliance with 37 C.F.R. 3.28 and 3.31 is included. | | | | |
| 13. | | A FIRST preliminary amendment. | | | | | | |
| 14. | | A SECOND or SUBSEQUEN | NT preliminary amendment. | | | | | |
| 15. | | A substitute specification. | | | | | | |
| 16. | | A change of power of attorne | ey and/or address letter. | | | | | |
| 17. | | A computer-readable form of | f the sequence listing in accordance with Pe | CT Rule 13ter.2 and 37 CFR 1.821-1.825. | | | | |

A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

A second copy of the published international application under 35 U.S.C. 154(d)(4).

18.

19. \square

Other items or information.

| U.S. APPLICATION NO. (If kno | | R. 1.5) | INTERNATIONAL APPLICAT | | · | ATTC | RNEY'S DOCKET 2490-17 | NUM | 3ER | |
|---|--|----------------|---|---------------|---------------------|------------|---------------------------------|-------|-----------|---|
| | 10/070,619 PCT/GB00/03483 | | | | ALCULATIONS | PTO | USE ONLY | _ | | |
| 21. ☑ The following fees are submitted: BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5): Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO\$1040.00 | | | | | | | ALCOLATIONS | | OCC CIVET | _ |
| International preli | minary exam | ination fee (3 | 37 C.F.R. 1.482) not paid t | 0 | | | | | | |
| International preli | USPTO but International Search Report prepared by the EPO or JPO\$890.00 International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO\$740.00 | | | | | | | | | |
| International preliminary examination fee (37 C.F.R. 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)\$710.00 | | | | | .\$710.00 | | | | | |
| International preliminary examination fee (37 C.F.R. 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)\$100.00 | | | | | | | | | | _ |
| | | | ENTER APPROPRIATE | | AMOUNT = | \$ | 0.00 | | | |
| Surcharge of \$130.00 for months from the earliest | | | claration later than 20 | □ 30 | | \$ | 0.00 | | | |
| CLAIMS | NUMBE | | NUMBER EXTRA | R | ATE | ۳ | 0.00 | | | - |
| Total Claims | 20 | -20 = | 0 | Χ | \$18.00 | \$ | 0.00 | | | _ |
| Independent Claims | 3 | -3 = | 0 | Χ | \$84.00 | | 0.00 | | | |
| MULTIPLE DEPENDEN | | | | | 30.00 | \$ | 0.00 | | | |
| attachment(s) (\$110.00/ | | | date so as to cover the filings: \$920,00/3 months | ng date of th | is paper and | \$ | 0.00 | | | |
| (| | | TOTAL OF AB | OVE CALC | JLATIONS = | \$ | 0.00 | | | - |
| Applicant claims sn are reduced by 1/2 | | tus. See 37 | CFR 1.27. The fees indicate | ated above | | | 0.00 | | | |
| ****** | | | | | UBTOTAL = | \$ | 0.00 | | | _ |
| Processing fee of \$130.0 months from the earliest | | | | + | | | 0.00 | | | |
| | | | | | ONAL FEE = | \$ | 0.00 | | | |
| | | | F.R. 1.21(h)). The assignr .F.R. 3.28, 3.31). \$40.00 | | | ٦ | 0.00 | | | |
| | | | ned Application (\$1280.00 | | + ty = \$640.00\ | \$ \$ | 0.00 | | | _ |
| | | any rabandon | | | NCLOSED = | \$ | 0.00 | | | - |
| | | | | | | | mount to be: refunded | \$ | | _ |
| | | · · · | | | | Charged \$ | | | - | |
| a. \(\text{\$\ | | | | | | | | | | |
| NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | | | | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | | | | | | | |
| NIXON & VANDERHYE P.C. 1100 North Glebe Road, 8 th Floor | | | | | | | | | | |
| Arlington, Virginia 22201-4714 | | | | | | | | | | |
| Telephone: (703) 816-4000 Leonard C. Mitchard | | | | | | | | | | |
| LCM:lfm | | | | NAME | | - | | | | |
| | | | | 29,009 | | | October 28 | . 200 | 2 | |
| | | | | | RATION NUMBE | R | Date | | | _ |



UNITED STATES PATENT AND TRADEMARK OFFICE

Corressaoner for Patients, Box PCI United States Patient and Tradomark Office Washington, D.C., 2023

| U.S. APPLICATION NUMI | BER NO. | FIRST NAMED APPLICAN | П | ATTY, DOCKET NO. | | | |
|------------------------------------|------------------------------|----------------------|-------|--|--------------------------|--|--|
| 10/070,619 | | A. Massara | | 2490-17 INTERNATIONAL APPLICATION NO. PCT/GB00/03483 | | | |
| | | | INTER | | | | |
| | | | | | | | |
| Nixon & Vanderhye | | | | ING DATE | PRIORITY DATE | | |
| 1100 North Glebe Road 8th Floor | DOCKETED | | 09/08 | 8/2000 | 09/08/1999 | | |
| Arlington, VA 22201-4714 | MAIL DATE DUE DATE FINAL DEA | | | ALITIES L | ATION NO. 9169 LETTER | | |
| Date Mailed: 10/10/2002 | • | • • | | | | | |

NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- · U.S. Basic National Fee
- Priority Document
- . Copy of IPE Report
- · Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Oath or Declaration
- · Preliminary Amendments
- Request for Immediate Examination

Applicant's response filed 08/12/2002 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS mailed 05/10/2002 have not been completed.

The following items MUST be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - Fourth inventor's signature is missing from the declaration.

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed





ு to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

A copy of this notice MUST be returned with the response.

KAREN M WILLIAMS

Telephone: (703) 305-3688

PART 1 - ATTORNEY/APPLICANT COPY

| L | U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY, DOCKET NO. |
|----------|-----------------------------|-------------------------------|------------------|
| <i>:</i> | 10/070,619 | PCT/GB00/03483 | 2490-17 |

FORM PCT/DO/EO/916 (371 Formalities Notice)